

NOAA Climate Program Office FY2017 - Understanding Climate Impacts on Fish Stocks and Fisheries to Inform Sustainable Management

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ANNOUNCEMENT OF FEDERAL FUNDING OPPORTUNITY

EXECUTIVE SUMMARY

Federal Agency Name(s): Oceanic and Atmospheric Research (OAR), National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

Funding Opportunity Title: NOAA Climate Program Office FY2017 - Understanding Climate Impacts on Fish Stocks and Fisheries to Inform Sustainable Management

Announcement Type: Initial

Funding Opportunity Number: NOAA-OAR-CPO-2017-2004998

Catalog of Federal Domestic Assistance (CFDA) Number: 11.431, Climate and Atmospheric Research

Dates: Letters of Intent for all Competitions should be received via email to adrienne.antoine@noaa.gov by November 21, 2016 by 5:00 pm ET.

Full applications for all Competitions must be received by 5:00 p.m. ET, January 30, 2017. Applications received after this time will not be considered for funding. Applications must be submitted via <http://www.grants.gov>. For applications submitted through grants.gov, the basis for determining timeliness is the receipt notice issued by grants.gov, which includes the date and time received. Emailed or faxed copies of applications will not be accepted.

Funding Opportunity Description: Healthy and productive fisheries are an essential component of the U.S. economy. There is increasing concern about the impacts of climate variability and change on fish stocks, fisheries, and marine ecosystems in the U.S. Climate variability and change influences many parameters (e.g. extreme events, winds, ocean temperatures, stratification, currents, coastal precipitation, inundation, etc.) that directly and indirectly affect marine ecosystem conditions including the abundance, distribution, and productivity of fish stocks that support economically important fisheries. Sustainable fisheries management in a changing climate requires an improved understanding of how climate, fishing, and other stressors interact to affect fish stocks (including their habitats and prey), fisheries and fishing-dependent communities.

To address these issues of growing concern, in 2014 the Office of Atmospheric Research (OAR) Climate Program Office and the National Marine Fisheries Service (NMFS) Office of Science and Technology launched a new partnership to advance understanding of climate-related impacts on fish or other species that support economically important fisheries and fishing communities. The goal is to inform sustainable fisheries management and promote resilience of the nation's

fish stocks and fisheries in a changing climate.

For FY17, this OAR/NMFS partnership, through the Coastal and Ocean Climate Applications (COCA) Program, will continue to take a regional approach to improving the resilience and adaptation of fisheries in a changing climate by soliciting proposals under two competitions. The first competition solicits proposals for projects in the California Current Large Marine Ecosystem (CCLME) and the second competition solicits proposals for projects in the Northeast US Continental Shelf Large Marine Ecosystem (NESLME).

FULL ANNOUNCEMENT TEXT

I. Funding Opportunity Description

A. Program Objective

NOAA's Climate Program Office (CPO) manages competitive research programs through which NOAA funds high-priority climate science, assessments, decision support research, outreach, education, and capacity-building activities designed to advance our understanding of Earth's climate system and to foster the application of this knowledge to enable effective decisions. CPO supports research that is conducted across the United States and internationally. CPO also provides strategic guidance for the agency's climate science and services programs and supports NOAA's contributions to the U.S. Global Change Research Program (USGCRP), the National Climate Assessment, and similar international endeavors such as the Global Framework for Climate Services.

CPO's Coastal and Ocean Climate Applications (COCA) program, overseen by CPO's Climate and Societal Interactions (CSI) Division, addresses the needs of decision makers dealing with pressing climate-related issues in coastal and marine environments. The program is designed to support interdisciplinary teams of researchers in the development and transition of climate-related research and information to advance decision-making. Outcomes of COCA projects inform the response and coping capacity of decision-making and management communities to climate variability and change.

The National Marine Fisheries Service (NMFS) is responsible for the stewardship of the nation's living marine resources and their habitat. NMFS scientists work to understand the effects of climate change and ocean acidification to minimize the disruptions they cause, adapt to the changes that are coming, and ensure that current and future generations can enjoy the benefits of healthy marine ecosystems. NMFS mission activities address NOAA's Healthy Oceans Goal and other Goals outlined in the NOAA Next Generation Strategic Plan (<http://www.ppi.noaa.gov/ngsp/>).

In August 2015, NMFS released the NOAA Fisheries Climate Science Strategy. The NOAA Fisheries Climate Science Strategy (Strategy) identifies seven objectives that are designed to meet the climate related research and information requirements needed to fulfill NOAA Fisheries mandates. To address these objectives, the Strategy outlines several immediate and near-term actions to ensure consistent implementation of the Strategy across the NMFS regions. To begin, NMFS is working in collaboration with its partners and stakeholders to develop Regional Action Plans that identify region specific research and information needs. Projects funded under this funding opportunity will support the near-term actions of the

Strategy and the research priorities identified in relevant Regional Action Plans.

In response to growing concerns over the impacts of climate variability and change on marine resources, in 2014, the Office of Oceanic and Atmospheric Research (OAR) Climate Program Office and the National Marine Fisheries Service (NMFS) Office of Science and Technology developed a new partnership to advance understanding of current and future climate-related impacts on fish or other species that support economically important fisheries and the communities and economies that depend on them. This new partnership is focused on understanding and responding to the impacts of climate variability and change on NOAA's marine resource management responsibilities including implications for marine ecosystems, fish stocks, fishery management, and the communities and economies that depend on them. The goal is to inform sustainable management and resilience of the nation's fisheries in a changing climate.

B. Program Priorities

Healthy and productive fisheries are an essential component of the U.S. economy. In 2014, U.S. marine commercial and recreational fisheries contributed \$214 billion in sales impacts and provided 1.83 million jobs. Sustainable fisheries create and maintain jobs, support working waterfronts, provide opportunities for commerce, and help meet the growing demand for seafood across the U.S. and the world.

There is increasing concern about the impacts of climate variability and change on fish stocks, fisheries, and marine ecosystems in the U.S. Climate variability and change influences many parameters (e.g. extreme events, winds, ocean temperatures, stratification, currents, coastal precipitation, inundation, etc.) that directly and indirectly affect marine ecosystem conditions including the abundance, distribution, and productivity of fish stocks that support economically important fisheries. Sustainable fisheries management in a changing climate requires an improved understanding of how climate, fishing, and other stressors interact to affect fish stocks (including their habitats and prey), fisheries and fishing-dependent communities.

For FY17, this OAR/NMFS partnership, through the Coastal and Ocean Climate Applications (COCA) Program, will continue to take a regional approach to improving the resilience and adaptation of fisheries in a changing climate by soliciting proposals under two competitions. The first competition solicits proposals for projects in the California Current Large Marine Ecosystem (CCLME) and the second competition solicits proposals for projects in the Northeast U.S. Continental Shelf Large Marine Ecosystem (NESLME).

Competition I – Understanding Climate Impacts on Fish Stocks and Fisheries in the California Current Large Marine Ecosystem

The California Current Large Marine Ecosystem (CCLME) is located in the Northeastern Pacific and stretches from the U.S.-Canada border to Baja California, Mexico. In 2013, U.S. marine commercial and recreational fisheries in Washington, Oregon, and California contributed \$32.1 billion in sales impacts to the US economy. That year, California generated the most fisheries-related sales of any state.

For this competition, COCA, in partnership with NMFS, is soliciting proposals for multidisciplinary efforts to better understand projected impacts of climate variability and change on CCLME fish stocks and fisheries. Projects should build on existing information to identify climate, ocean and fish stock scenarios in the CCLME, evaluate the performance of alternative fisheries management strategies under future scenarios, and investigate the socio-economic impacts of climate variability and change on fisheries and fishery dependent communities. The projects should be specifically designed to provide information to fishery managers that enhances the application of climate-related data and information in fishery stock assessment and management decisions in the region. Proposals should focus on U.S. managed fisheries in the CCLME. The project team can request up to \$700,000 a year for three years, for a total of \$2.1 million over three years.

Competition II – Understanding Climate Impacts on Fish Stocks and Fisheries in the Northeast U.S. Continental Shelf Large Marine Ecosystem

The Northeast U.S. Continental Shelf Large Marine Ecosystem (NESLME) extends from Cape Hatteras, North Carolina to the northern extent of the Gulf of Maine. In 2014, U.S. marine commercial and recreational fisheries generated over \$36 billion in sales impacts and supported over 360,000 jobs.

The NESLME has been experiencing climate-related changes and is projected to be significantly impacted by changing climate conditions in the future. For this competition, COCA, in partnership with NMFS, is soliciting proposals for projects focused on the NESLME that advance the understanding and projection of the impacts of climate variability and change on (1) fisheries-related species (species that support economically important fisheries) and/or (2) investigate the socioeconomic impacts of climate variability and change on fisheries and fishery dependent communities. COCA will prioritize proposals that support fisheries management and planning decisions through the identification and evaluation of robust management strategies, adaptive management processes, and climate-informed

reference points (see objectives 1, 2 and 3, in the NOAA Fisheries Climate Science Strategy). Proposals that address transboundary issues between the NESLME and the Southeast Large Marine Ecosystem will be accepted. The project team can request up to \$500,000 a year for three years for a total of \$1.5 million over three years.

Investigators are highly encouraged to learn more about specific research priorities for FY 2017, prior to submitting applications. This information is provided in Program information sheet that can be found at the following website: <http://cpo.noaa.gov/GrantsandProjects.aspx>.

C. Program Authority

49 U.S.C. 47720(b), 15 U.S.C. 2904, 15 U.S.C. 2931-2934, 16 U.S. Code 1881c.

II. Award Information

A. Funding Availability

In FY 2017, approximately \$2.2 million will be available for new awards pending budget appropriations. For competition I, projects can request up to \$700,000 a year for three years, for a total of \$2.1 million over three years. For competition II, projects can request up to \$500,000 a year for three years for a total of \$1.5 million over three years. Federal funding for FY2018 may be used to fund some awards submitted under this Federal Funding Opportunity. Current or previous grantees are eligible to apply for a new award that builds on, but does not replicate, activities covered in existing or previous awards. Current grantees should not apply for supplementary funding through this announcement.

B. Project/Award Period

Projects under this announcement are multiyear awards and are expected to cover a performance period of up to three years.

C. Type of Funding Instrument

Awards may be issued as either a grant or cooperative agreement, depending on whether there is anticipated to be substantial involvement by NOAA in the conduct of the award. Examples of substantial involvement may include, but are not limited to, applications for collaboration between NOAA scientists and a recipient scientist or contemplation by NOAA of detailing Federal personnel to work on proposed projects. NOAA will make decisions regarding the use of a cooperative agreement on a case-by-case basis. Funding for contractual arrangements for services and products for delivery to NOAA is not available under this announcement.

If the applicant is at an institution that has a NOAA Cooperative Institute (CI), the applicant is encouraged to submit a proposal that references the CI by attaching a cover letter to the proposal stating the desire to have the grant associated with the CI. This letter should specify the name of the cooperative institute, the CI cooperative agreement number, and the NOAA-approved research theme and task that applies to the proposal. The proposal will use the Facilities and Administrative (F&A) rate associated with main CI agreement.

If the proposal is selected for funding, NOAA will notify the university that a separate award will be issued with its own award number. However, the award will include two Special Award Conditions (SACs): (1) the existing University/NOAA Memorandum of Agreement (MOA) would be incorporated by reference into the terms of the competitive award, and (2) any performance report(s) for the competitive project must follow the timetable of the funding program and be submitted directly to the funding program. Report(s) will be copied to the CI's administrator when due, to be attached to the main cooperative agreement progress report as an appendix. This will allow the CI to coordinate all the projects submitted through the CI, since the terms of these awards will specify that this is a CI project via the MOA.

III. Eligibility Information

A. Eligible Applicants

Eligible applicants are institutions of higher education, other nonprofits, commercial organizations, international organizations, and state, local and Indian tribal governments. Federal lead investigators who wish to apply to this Announcement of Opportunity must prepare a proposal according to the FFO guidelines and submit the proposal to the program manager directly, instead of to Grants.gov. Federal co-investigators must submit a proposal identical to the proposal lead's but with personalized budget information.

B. Cost Sharing or Matching Requirement

None.

C. Other Criteria that Affect Eligibility

None.

IV. Application and Submission Information

A. Address to Request Application Package

Application packages are available at Grants.gov (<http://www.grants.gov>) at the link "Apply for Grants." For applicants without Internet access, please contact the CPO Grants Manager Diane Brown by mail at NOAA Climate Program Office (R/CP1), SSMC3, Room 12734, 1315 East-West Highway, Silver Spring, MD 20910 to obtain an Application Package. Please allow two weeks after receipt for a response.

B. Content and Form of Application

1. Letter of Intent

The purpose of the LOI process is to provide information to potential applicants on the relevance of their proposed project to the Competition in advance of preparing a full application. Full applications will be encouraged only for LOIs deemed relevant. Applicants who have not been encouraged may still submit a full application. While LOIs are strongly encouraged, applicants are not required to submit them and may submit a full application even if they have not submitted an LOI.

LOIs should be submitted by email to the NOAA Competition Manager by the deadline specified in section IV.D below. The LOI should provide a concise description of the proposed work and a statement regarding its relevance to the targeted Competition. The LOI should be no more than two pages in length and should include the items listed below. If these items are not included or the LOI is submitted late, the LOI may not be considered:

1. Identification of the Competition that is being targeted in the LOI
2. A tentative project title
3. Name(s) and institution(s) of the Lead Principal Investigator(s) and other Principal Investigator (s)
4. Statement of the problem
5. Brief summary of work to be completed, methodology to be used, data sets needed or to be collected, and approximate cost of the project
6. Relevance to the Competition that is being targeted

A response to the LOI from the Competition Manager (e-mail or letter) will be sent to the investigator within four weeks after the LOI's due date encouraging or discouraging a full application based on its relevance to the targeted Competition. The final decision to submit a full application will be made by the investigator.

2. Full Application

Failure to comply with these provisions will result in applications being returned without review. Full applications are limited to 35 pages using 12-point font type with one-inch

margins on standard 8.5 by 11 inch paper. For full applications with three or more Principal Investigators, the page limit is increased to 40. The page limit includes:

1. Title page
2. Abstract
3. Results from prior research
4. Statement of work (15 page limit; for proposals with three or more PIs the limit is 20 pages; see below for more information)
5. Budget justification
6. Budget table
7. Vitae
8. Current and pending support
9. Associated figures
10. References
11. Data sharing plan

The full proposal and Indirect Cost Rate Agreement (IDCRA) should be put into one electronic file. The budget table/justification should be submitted in a file labeled budget narrative. The Federal Forms (SF424, SF424A, SF424B, CD511), and other mandated forms should be inserted in separate files when submitted and are not included in the page count.

The following forms and elements are required in each application.

(1) Title page: The title page shall identify the Principal Investigator(s) (PI) and institutional representative and clearly indicate which Competition is being addressed by name and Competition number. The title page should also include all PIs and co-PIs involved in the project. If more than one investigator is listed on the title page, please identify the lead investigator. The lead PI and institutional representative should be identified by: full name, title, organization, telephone number, email, and address. For paper submissions, the lead PI and the institutional representative must sign the title page. The total amount of Federal funds being requested should be listed for each budget period. If there are several institutions submitting separate applications associated with the same project, the names of all component institutions along with their lead PI name, e-mail, and amount requested per year must also appear on the title page of all applications that anticipate being funded under the same project.

(2) Abstract: A one-page abstract must be included and should contain the project title, an introduction to the problem, rationale, and a brief summary of the work to be completed. Abstracts must identify the name of the Competition that is being targeted and must also include a paragraph describing the work's relevance to the Competition that is being targeted

as well as NOAA's goals as described in NOAA's Next-Generation Strategic Plan (NGSP; see section I.A). For multiple applications associated with the same project, the abstract must be identical in all applications. Failure to include this paragraph can result in the application being denied without additional review.

(3) Results from prior research: The results of each prior research project led by the Principal Investigator(s) during the last three years relevant to the proposed effort should be summarized in brief paragraphs. Because NOAA believes it is important that data sets developed with its support should be shared with the scientific community, PIs should also indicate how and when they have made their data accessible and useable by the community in the past. This section should not exceed two pages. For multiple applications associated with the same project, this section must be identical in all applications.

(4) Statement of work: The proposed project must be completely described, including identification of the problem, scientific objectives, proposed methodology, and relevance to the Competition to which you are submitting the proposal and to NOAA's goals. Benefits of the proposed project to the general public and the scientific community should be discussed. The statement of work, excluding references, figures, and other visual materials, must not exceed 15 pages of text. Applications from three or more investigators may include a statement of work containing up to 20 pages of overall project description. For multiple applications associated with the same project, all applications must have an identical statement of work, including a clear statement of the roles and responsibilities of each applicant.

(5) Data/Information Sharing Plan (up two pages):

Environmental data and information collected or created under NOAA grants or cooperative agreements must be made discoverable by and accessible to the general public, in a timely fashion (typically within two years), free of charge or at no more than the cost of reproduction, unless an exemption is granted by the NOAA Program. Data should be available in at least one machine-readable format, preferably a widely-used or open-standard format, and should also be accompanied by machine-readable documentation (metadata), preferably based on widely used or international standards.

Proposals submitted in response to this Announcement must include a Data Management Plan of up to two pages describing how these requirements will be satisfied. The contents of the Data Management Plan (or absence thereof), and past performance regarding such plans, will be considered as part of proposal review. A typical plan should include descriptions of the types of environmental data and information expected to be created during the course of the project; the tentative date by which data will be shared; the standards to be used for

data/metadata format and content; methods for providing data access; approximate total volume of data to be collected; and prior experience in making such data accessible. The costs of data preparation, accessibility, or archiving may be included in the proposal budget unless otherwise stated in the Guidance. Accepted submission of data to the NOAA National Centers for Environmental Information (NCEI) is one way to satisfy data sharing requirements; however, NCEI is not obligated to accept all submissions and may charge a fee, particularly for large or unusual datasets. NOAA may, at its own discretion, make publicly visible the Data Management Plan from funded proposals, or use information from the Data Management Plan to produce a formal metadata record and include that metadata in a Catalog to indicate the pending availability of new data.

Proposal submitters are hereby advised that the final pre-publication manuscripts of scholarly articles produced entirely or primarily with NOAA funding will be required to be submitted to NOAA Institutional Repository after acceptance, and no later than upon publication. Such manuscripts shall be made publicly available by NOAA one year after publication by the journal.

Grantees shall be required to specify funding sources using the FundRef (<http://www.crossref.org/fundingdata/index.html>) mechanism when papers are submitted for publication.

(6) Budget Table and Justification:

Budget Table: An itemized budget for all years and a total itemized budget must be included as a separate spreadsheet that breaks down the budget per object class category. Travel must be itemized to include destination, airfare, per diem, lodging, and ground travel. For budget guidance, please go to the following link.

http://www.ago.noaa.gov/grants/docs/gmd_budget_narrative_guidance_-_12.09.2015_final.pdf.

For multiple applications associated with the same project, the Lead Principal Investigator should include a spreadsheet that displays the total budget for all partners. All partners, including the Lead Principal Investigator and any co-PIs from Federal Institutions, should include a separate budget for their portion of the project.

Budget Justification: A brief description of the expenses listed on the budget table and how they address the proposed work. Item justifications must include salaries, equipment, publications, supplies, tuition, travel, etc. Investigators who will not be requesting funds for salaries must also be listed, indicating their estimated time of commitment. Purchases of

equipment greater than \$5000 must include a purchase versus lease justification.

(7) Federal Budget Forms: Budget numbers corresponding with the descriptions contained in the statement of work and budget table must be included. In addition to including the total budget on the SF424, the application must include the total budget and budgets for years 1, 2, and 3 in separate columns in Section B on page 1 on the SF424A. (Note that this revised 424A Section B format is a NOAA requirement that is not reflected in the Instructions for the SF 424A). Note that these forms are not part of the required page limit.

For multiple applications associated with the same project, each application requesting funding from NOAA needs to complete the federal budget forms for their specific institution.

(8) Indirect Cost Rate Agreement: A copy of the institution's current Indirect Cost Rate Agreement (IDCRA) must be included. The IDCRA does not, however, count as part of the required page limit. If an applicant has not previously established an indirect cost rate with a Federal agency they may choose to negotiate a rate with the Department of Commerce or use the de minimis indirect cost rate of 10% of MTDC (as allowable under 2 C.F.R. §200.414). The negotiation and approval of a rate is subject to the procedures required by NOAA and the Department of Commerce Standard Terms and Conditions Section B.06. The NOAA contact for indirect or facilities and administrative costs is:

Lamar Revis, Grants Officer
NOAA Grants Management Division
1325 East West Highway, 9th Floor
Silver Spring, Maryland 20910
lamar.revis@noaa.gov

(9) Vitae: Abbreviated curriculum vitae are requested with each application. Reference lists should be limited to all publications in the last three years with up to five other relevant papers. For multiple applications associated with the same project, each application should include identical vitae for all applications.

(10) Current and pending support: For each Principal Investigator and Co-Principal Investigator(s), submit a list of all current and pending Federal support that includes project title, supporting agency with grant number, investigator months per year, dollar value, and duration. Requested values should be listed for pending support.

For multiple applications associated with the same project, each application should include identical current and pending support information for all applications.

(11) Letters of Support: All letters of support must be submitted as part of the proposal. Letters of support are not a part of the application page limit.

(12) DUNS Number: All applications must have a DUNS (Dun and Bradstreet Data Universal Numbering System) number when applying for federal grants. No application is deemed complete without the DUNS number, and only the Office of Management and Budget (OMB) may grant exceptions.

C. Unique Entity Identifier and System for Award Management (SAM)

In order to submit an application through Grants.gov, an applicant must register for a Grants.gov user ID and password. Note that this process can take between three to five business days or as long as four weeks if all steps are not completed correctly. To avoid delays, applicants are strongly encouraged to start early and not wait until the approaching application deadline before registering, logging in, reviewing the application instructions, and applying. Information about the Grants.gov registration process for organizations can be found at http://grants.gov/applicants/organization_registration.jsp.

Please note that organizations already registered with Grants.gov do not need to re-register; however, all registered organizations must keep their Grants.gov password and SAM database (which now incorporates CCR) registration up-to-date or their applications will not be accepted by Grants.gov. Note that your CCR username will not work in SAM. You must create a new SAM user account to renew or update your registration. Registration on SAM is a requirement. To obtain additional information and to verify that all required registrations are current, please visit www.sam.gov/portal/public/SAM.

If you experience a Grants.gov systems issue (technical problems or glitches with the Grants.gov website) that you believe threatens your ability to complete a submission before the application deadline, please do all of the following:

- o Print any error message received
- o Call the Grants.gov Contact Center at 1-800-518-4726 for immediate assistance
- o Contact NOAA using the contact information in section VIII. of this FFO prior to the close of the competition
- o Ensure that you obtain a case number regarding your communications with Grants.gov

In the event of a confirmed systems issue, NOAA reserves the right to accept an application

in an alternate format prior to the application deadline. Problems with an applicant organization's computer system or equipment are not considered systems issues. Similarly, an applicant's failure to do the following are not considered systems issues:

- o Complete the required registration
- o Ensure that a registered Authorized Organization Representative (AOR) submits the application
- o Read an email message with guidance from Grants.gov

D. Submission Dates and Times

1. Letters of Intent for all Competitions should be received by email to adrienne.antoine@noaa.gov November 21, 2016 at 5:00 pm ET. A response to the LOI from the Competition Manager (e-mail or letter) will be sent to the investigator within four weeks after the LOI's due date encouraging or discouraging a full application based on its relevance to the targeted Competition.

2. Full Applications

Full applications for all Competitions must be received by 5:00 p.m. ET January 30, 2017. Applications received after this time will not be considered for funding. Applications must be submitted via <http://www.grants.gov>. For applications submitted through grants.gov, the basis for determining timeliness is the receipt notice issued by grants.gov, which includes the date and time received. Emailed or faxed copies of applications will not be accepted.

Hard copy submissions will be date and time stamped when they are received in the Climate Program Office.

E. Intergovernmental Review

Applications under this program are not subject to Executive Order 12372, Intergovernmental Review of Federal Programs.

F. Funding Restrictions

Fees and profits are disallowed.

G. Other Submission Requirements

LOIs should be submitted by email to the NOAA Competition Manager by the deadline.

Application packages are available at Grants.gov (<http://www.grants.gov>) at the link "Apply for Grants." For applicants without Internet access, please contact the CPO Grants Manager

Diane Brown by mail at NOAA Climate Program Office (R/CP1), SSMC3, Room 12734, 1315 East-West Highway, Silver Spring, MD 20910 to obtain an Application Package. Please allow two weeks after receipt for a response. Applications are submitted through grants.gov: "Apply for grants".

V. Application Review Information

A. Evaluation Criteria

1. Importance/Relevance and Applicability of Application to the Program Goals (Stage 1 Weight=0%) (Stage 2 Weight=100%) (Final Weight=25%)

This criterion ascertains whether there is intrinsic value in the proposed work and/or relevance to NOAA, federal, regional, state, tribal, or local activities. For this CPO Grant Program Competition, this includes the importance and relevance to the scientific priorities of the selected competition. The PI's record of making his/her data accessible and useable by the scientific community in the past, and the procedures described in Section IV.B(5) Data/Information Sharing Plan will also be considered when evaluating the importance and relevance of the application.

2. Technical/Scientific Merit (Stage 1 Weight=70%) (Stage 2 Weight=0%) (Final Weight=52.5%)

This criterion assesses whether the approach is technically sound and/or innovative, if the methods are appropriate, and whether the goals of the competition will be realized through clear project goals and objectives. For this CPO Grant Program Competition, this will include: (1) how technically sound and/or innovative the proposed work is, (2) how well the proposed work addresses the research topic and one or more of the research priorities; and; (3) if applicable, the relative potential value to relevant decision makers.

3. Overall Qualifications of Applicants (Stage 1 Weight=20%) (Stage 2 Weight=0%) (Final Weight=15%)

This criterion assesses whether the applicant team possesses the necessary education, experience, training, facilities, and/or administrative resources to accomplish the project.

4. Project Costs (Stage 1 Weight = 10%) (Stage 2 Weight = 0) (Final Weight =7.5%)

This criterion evaluates the budget to determine if it is realistic and commensurate with the project needs and time frame.

5. Outreach and Education (Stage 1 Weight=0%) (Stage 2 Weight=0%) (Final Weight=0%)

This criterion assesses whether the project provides a focused and effective education and outreach strategy regarding NOAA's mission to protect the Nation's natural resources. For the CPO Grant Program Competitions, this criterion is not scored.

B. Review and Selection Process

Once a full application has been received, an administrative review will be conducted to determine compliance with requirements and completeness of the application. The reviews will take place in two stages. In Stage 1, independent peer mail reviewers and/or independent peer panel reviewers consisting of both Federal and/or non-Federal experts will evaluate applications using the following three criteria described above: technical/scientific merit, overall qualifications of applicants, and project costs. Relevance will be assessed separately in Stage 2. The panel will not give consensus advice. We protect the identities of reviewers to the extent permitted by law.

During Stage 1, each reviewer will provide one score for each of three criteria: technical/scientific merit, overall qualifications of applicants, and project costs for each application. The scores from the reviewers for each application will be combined using the weighting averages to produce a single numerical score for Stage 1. Occasionally a reviewer may, due to lack of familiarity in a particular area, choose not to score a particular application. Proposals that score a 3.0 or higher (out of a possible high score of 5) in Stage 1 will proceed to Stage 2.

If only a mail peer review is conducted for stage 1, proposals that score a 3.0 or higher (out of a possible high score of 5) in Stage 1 will proceed to Stage 2.

If a mail review and a panel review are both conducted for Stage 1, the mail reviews will be provided to the Stage 1 review panel for use in its deliberations prior to providing its ratings, but the Competition Manager will use only the numerical rank order of the peer review panel to determine the average score for each proposal. Proposals that score a 3.0 or higher (out of a possible high score of 5) in Stage 1 will proceed to Stage 2.

In Stage 2, scores for Importance/Relevance and Applicability of Application to the Program Goals will be determined by a second panel comprising either Federal or a combination of Federal and non-Federal partners. Each panel reviewer will provide a relevance score for each application that moved forward from Stage 1. The Stage 2 panel will not give consensus advice. The applications and their associated scores from Stage 1 will be provided to the Stage 2 panel.

The Stage 1 and Stage 2 weighting of scores for the individual criteria is shown in the

following table:

Criterion	Stage I Weight	Stage 2 Weight	Final Weight
Importance and Relevance/Applicability	0%	100%	25%
Technical/Scientific Merit	70%	0%	52.5%
Overall Qualifications of Applications	20%	0%	0%
Project Costs	10%	0%	7.5%
Outreach and Education	0%	0%	0%
Stage Total	100%	100%	100%
Final weighting for each stage score	75%	25%	100%

To determine the final score, the scores from Stage 1 and Stage 2 will be combined, with a weighting of 75% for the Stage 1 score and 25% for the Stage 2 score, leading to the overall weightings for each criterion reported in section V.A above. The final score for each application will be used to determine the numerical rank order of proposals within each Competition.

The Competition Manager will recommend applications to the Selecting Official in numerical rank order unless a recommendation out of rank order is justified based upon any of the factors listed in the following section. Should applications receive a tie score, and funding is not available for every tied application, the Competition Manager may preferentially recommend applications for funding also according to any of the factors listed in the following section. The Competition Manager will review the amounts requested for each selected application (including costs for computing and networking services) and recommend the total duration and the amount of funding, which may be less than the application and budget requested.

C. Selection Factors

The Selecting Official shall select awards in rank order unless a selection out of rank order is justified based upon any of the selection factors. Should applications receive a tie score, and funding is not available for every tie application, the Selecting Official may preferentially recommend applications for funding also in accordance with any of the selection factors. The selection factors are as follows:

- Availability of funding
- Balance/distribution of funds:
 - Geographically
 - By type of institutions
 - By type of partners
 - By research area

By project types

- Duplication of other projects funded or considered for funding by NOAA/Federal agencies
- Program priorities and policy factors
- Applicant's prior award performance
- Partnerships with/participation of targeted group
- Adequacy of information necessary for NOAA staff to make a NEPA determination and draft necessary documentation before recommendations for funding are made to the Grants Officer.

The Selecting Official makes final recommendations for awards to the Grants Officer who is authorized to obligate the funds.

D. Anticipated Announcement and Award Dates

Subject to the availability of funds, review of applications will occur during the 6-7 months following the full applications due date. CPO anticipates that funding decisions on applications will be made during spring 2017. Such decisions are contingent upon the final FY 2017 appropriation for NOAA by Congress and the final allocation of funds to CPO by NOAA. Funding for successful applicants is expected to begin during spring-summer 2017 for most approved projects. Applications should use July 1, 2017, as the start date unless otherwise directed by the Competition Manager.

VI. Award Administration Information

A. Award Notices

The Grants Officer will provide notice to the applicant that they have received the award. Successful applicants will receive notification that the application has been recommended for funding by an official of the NOAA Climate Program Office. This notification is not an authorization to begin performance of the project. The official notification of funding, signed by a NOAA Grants Officer, is the authorizing document that allows the project to begin. Notifications will be issued to the Authorizing Official and the Principal Investigator of the project. Unsuccessful applicants will be notified that their application was not selected for recommendation.

B. Administrative and National Policy Requirements

STATUTORY AND NATIONAL POLICY REQUIREMENTS - To enable the use of a universal identifier and to enhance the quality of information available to the public as required by the Federal Funding Accountability and Transparency Act of 2006, to the extent

applicable, any proposal awarded in response to this announcement will be required to use the System for Award Management (SAM), which may be accessed online at <https://www.sam.gov/portal/public/SAM/>. Applicants are also required to use the Dun and Bradstreet Universal Numbering System and will be subject to reporting requirements, as identified in OMB guidance published at 2 CFR Parts 25, 170 (2013), which may be accessed at http://www.ecfr.gov/cgi-bin/text-idx?SID=1ccffb4c1d4de03addd6a041113460f9&mc=true&node=se2.1.200_1300&rgn=div8

DEPARTMENT OF COMMERCE PRE-AWARD NOTIFICATION REQUIREMENTS FOR GRANTS AND COOPERATIVE AGREEMENTS - The Department of Commerce Pre-Award Notification Requirements for Grants and Cooperative Agreements contained in the Federal Register notice of December 30, 2014 (79 FR 78390) are applicable to this solicitation and may be accessed online at <http://www.gpo.gov/fdsys/pkg/FR-2014-12-30/pdf/2014-30297.pdf>.

LIMITATION OF LIABILITY - Funding for programs listed in this notice is contingent upon the availability of continuing Congressional appropriations. Applicants are hereby given notice that funds have not yet been appropriated for the programs listed in this notice. In no event will NOAA or the Department of Commerce be responsible for proposal preparation costs. Publication of this announcement does not oblige NOAA to award any specific project or to obligate any available funds.

NATIONAL ENVIRONMENTAL POLICY ACT (NEPA) - NOAA must analyze the potential environmental impacts, as required by the National Environmental Policy Act (NEPA), for applicant projects or proposals which are seeking NOAA federal funding opportunities. Detailed information on NOAA compliance with NEPA can be found at the following NOAA NEPA website: <http://www.nepa.noaa.gov/>, including our NOAA Administrative Order 216-6 for NEPA, http://www.nepa.noaa.gov/NAO216_6.pdf, and the Council on Environmental Quality implementation regulations, http://energy.gov/sites/prod/files/NEPA-40CFR1500_1508.pdf. Consequently, as part of an applicant's package, and under their description of their program activities, applicants are required to provide detailed information on the activities to be conducted, locations, sites, species and habitat to be affected, possible construction activities, and any environmental concerns that may exist (e.g., the use and disposal of hazardous or toxic chemicals, introduction of non- indigenous species, impacts to endangered and threatened species, aquaculture projects, and impacts to coral reef systems). In addition to providing specific information that will serve as the basis for any required impact analyses, applicants may also be requested to assist NOAA in drafting an environmental assessment, if NOAA determines an assessment is required. Applicants will also be required to cooperate with NOAA in

identifying feasible measures to reduce or avoid any identified adverse environmental impacts of their proposal. Failure to do so shall be grounds for not selecting an application. In some cases if additional information is required after an application is selected, funds can be withheld by the Grants Officer under a special award condition requiring the recipient to submit additional environmental compliance information sufficient to enable NOAA to make an assessment on any impacts that a project may have on the environment.

UNPAID OR DELINQUENT TAX LIABILITY - In accordance with current Federal appropriations law, NOAA will provide a successful corporate applicant a form to be completed by its authorized representatives certifying that the corporation has no Federally-assessed unpaid or delinquent tax liability or recent felony criminal convictions under any Federal law. If a form is provided, an award may not be issued until it is returned and accepted by NOAA.

REVIEW OF RISK - After applications are proposed for funding by the selecting official, the Grants Office will perform administration reviews. These may include assessments of the financial stability of an applicant and the quality of the applicant's management systems, history of performance, and the applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-Federal entities. Special conditions that address any risks determined to exist may be applied. Applicants may submit comments to the Federal Awardee Performance and Integrity Information System (FAPIIS) about any information included in the system about their organization for consideration by the awarding agency.

REPORTING - The Federal Funding Accountability and Transparency Act of 2006 includes a requirement for awardees of applicable Federal grants to report information about first-tier sub-awards and executive compensation under Federal assistance awards issued in FY 2011 or later. All awardees of applicable grants and cooperative agreements are required to report to the Federal Sub-award Reporting System (FSRS) available at <https://www.fsrs.gov/> on all sub-awards over \$25,000.

DATA SHARING PLAN - 1. Environmental data and information collected or created under NOAA grants or cooperative agreements must be made discoverable by and accessible to the general public, in a timely fashion (typically within two years), free of charge or at no more than the cost of reproduction, unless an exemption is granted by the NOAA Program. Data should be available in at least one machine-readable format, preferably a widely-used or open-standard format, and should also be accompanied by machine-readable documentation (metadata), preferably based on widely used or international standards. 2. Proposals submitted in response to this Announcement must include a Data Management Plan of up to

two pages describing how these requirements will be satisfied. The Data Management Plan should be aligned with the Data Management Guidance provided by NOAA in the Announcement. The contents of the Data Management Plan (or absence thereof), and past performance regarding such plans, will be considered as part of proposal review. A typical plan should include descriptions of the types of environmental data and information expected to be created during the course of the project; the tentative date by which data will be shared; the standards to be used for data/metadata format and content; methods for providing data access; approximate total volume of data to be collected; and prior experience in making such data accessible. The costs of data preparation, accessibility, or archiving may be included in the proposal budget unless otherwise stated in the Guidance. Accepted submission of data to the NOAA National Centers for Environmental Information (NCEI) is one way to satisfy data sharing requirements; however, NCEI is not obligated to accept all submissions and may charge a fee, particularly for large or unusual datasets. 3. NOAA may, at its own discretion, make publicly visible the Data Management Plan from funded proposals, or use information from the Data Management Plan to produce a formal metadata record and include that metadata in a Catalog to indicate the pending availability of new data.

INDIRECT COST RATE - If an applicant has not previously established an indirect cost rate with a Federal agency they may choose to negotiate a rate with the Department of Commerce or use the de minimis indirect cost rate of 10% of MTDC (as allowable under 2 C.F.R. §200.414). The negotiation and approval of a rate is subject to the procedures required by NOAA and the Department of Commerce Standard Terms and Conditions.

The NOAA contact for indirect or facilities and administrative costs is:

Lamar Revis, Grants Officer
NOAA Grants Management Division
1325 East West Highway, 9th Floor
Silver Spring, MD 20910
lamar.revis@noaa.gov

FREEDOM OF INFORMATION ACT (FOIA) - In the event that an application contains information or data that you do not want disclosed prior to award for purposes other than the evaluation of the application, mark each page containing such information or data with the words "Privileged, Confidential, Commercial, or Financial Information - Limited Use" at the top of the page to assist NOAA in making disclosure determinations. DOC regulations implementing the Freedom of Information Act (FOIA) are found at 5 U.S.C 552, which sets forth rules for DOC to make requested materials, information, and records publicly available

under FOIA. The contents of funded applications may be subject to requests for release under the FOIA. Based on the information provided by you, the confidentiality of the content of funded applications will be maintained to the maximum extent permitted by law.

PAPERWORK REDUCTION ACT – This notification involves collection-of-information requirements subject to the Paperwork Reduction Act. The use of Standard Forms 424, 424A, 424B, and SF-LLL and CD-346 has been approved by the Office of Management and Budget (OMB) under control numbers 0348-0043, 0348-0044, 0348-0040, and 0348-0046 and 0605-0001. Notwithstanding any other provision of law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the PRA unless that collection of information displays a currently valid OMB control number.

C. Reporting

Award recipients are required to submit financial and technical progress reports. These reports are to be submitted electronically via <https://grantsonline.rdc.noaa.gov>. The first technical progress report covering the first nine months of a multi-year award is due 10 months after the start date of the award. Each subsequent technical progress report covering a period of 12 months is due 12 months after the previous report. The comprehensive final technical progress report is due 90 days after the expiration date of the award. Technical progress reports should report on adherence to the Data/Information Sharing Plan and all listed publications resulting from the grant should adhere to the requirements established in said section.

VII. Agency Contacts

Competition Manager: Adrienne Antoine (Adrienne.Antoine@noaa.gov)
Special Projects Manager: Sarah Close (Sarah.Close@noaa.gov)

VIII. Other Information

None.